



STATE OF MONTANA DEPARTMENT OF REVENUE JOB PROFILE

Working Title

Liquor Program Compliance Specialist

Job Code Title

Compliance Specialist

Pay Band

06

Job Code Number

131416

Liquor Control Division

Administrative Team

Fair Labor Standards Act

Non-Exempt

The Montana Department of Revenue administers more than 30 state taxes and fees; establishes values for taxable property, including agricultural land, residential real estate, commercial real estate, forest land, business equipment, railroads and public utilities; supervises the operation of the state liquor stores and agencies and administers the laws governing the sale, taxation, and licensing of alcoholic beverages; and returns unclaimed property to its rightful owners.

The Liquor Control Division administers the state's Alcoholic Beverage Code which governs the control, sale, and distribution of alcoholic beverages. The division provides customer service with a focus on public safety to ensure a safe, orderly, and regulated system for the convenient distribution and responsible consumption of alcoholic beverages. The Liquor Control Division includes the Administrative Team, Liquor Distribution Unit, and Liquor Licensing Bureau. The Administrative Team oversees the daily management of the division. This group of staff consists of the administrator, management officer, and division support staff.

Job Responsibilities

The Liquor Program Compliance Specialist monitors liquor store contracts and compliance with contract requirements and consults with the administrator and others regarding contracts and compliance issues. The incumbent administers liquor distribution and program operations and support services to facilitate licensing, contracts, administrative and legal actions, inventory management, and related activities. The position reports to the Liquor Control Division Administrator and does not supervise other staff.

• Liquor Store Contract and Compliance Monitoring 60%

1. Assesses current laws, rules, and policies to identify problem areas or gaps; interprets state statutes and regulations; and develops, modifies, and implements program policies and procedures. Coordinates public comment periods in compliance with legal and administrative requirements. Drafts and finalizes rules regarding application guidelines, compliance processes, inventory management, etc. and incorporates public input. Coordinates proposed legislation; prepares draft changes, assesses the impact of proposed changes, and provides information to the administrator to prepare legislative testimony, fiscal notes, and related correspondence.
2. Resolves contract issues with agent stores. Enforces contract requirements by working with other department divisions and outside agencies to determine if agents are complying with other state regulations such as paying taxes.
3. Provides contract information to applicants, agents, professionals, and general public to ensure they understand the requirements and processes and to promote compliance with liquor control laws and division policies. This involves remaining current with legal and administrative requirements and explaining rights and requirements in a clear and understandable manner. Responds to written and verbal inquiries to explain the processes and procedures including

issues such as eligibility requirements, community comment periods, and hearings. Provides information and application packets to applicants seeking an agency store in the state. Coordinates with the attorney and other staff as needed. Determines which inquiries are confidential matters and which are matters of public record.

4. Reviews applications and proposals for liquor stores to determine community eligibility. Evaluates petitions to ensure they have adequate signatures and that there are no duplicate or fraudulent signatures. Ensures proper public notification of applications. Coordinates community hearings and addressing disputed applications. Compares information on applications to regulations and by inspecting all forms for completeness. Establishes specific operating requirements and parameters by coordinating appropriate application and public input processes. Coordinates Invitations for Bid and Requests For Proposals.
5. Verifies that applicants are eligible to hold a liquor store contract by checking and verifying information (criminal background check, financial stability, business history, bonding and insurance requirements, etc). Contacts other department programs and state and federal data banks to research possible undisclosed problems. Forwards cases with potential problems to the Department of Justice (DOJ) for further investigation. Verifies application or transfer requirements have been met. Determines the eligibility of candidates and that eligibility issues have been reviewed and all forms are properly signed. Approves or denies routine applications.
6. Coordinates transfer of ownership from current agent and new agent. Ensures outstanding payments are paid and received as agreed upon by the parties and the department. Offers training to the new agents.
7. Resolves problems with orders for stores by working with the warehouse, vendors and trucking contractors and negotiating solutions to disputes. Provides other technical assistance regarding liquor orders.
8. Monitors monthly reporting of sales to licensees by agency stores to ensure each store is submitting a monthly report timely and in compliance with their agency contract.
9. Receives complaints alleging violations of department regulations and Montana Code Annotated (MCA). Determines if there is enough evidence to support or refute the charges. Gathers and analyzes information to determine the appropriate resolution through consultation or administrative action or refers the complaint to the DOJ local law enforcement for further investigation. This involves recognizing the violation, citing applicable laws or program criteria, and compiling preliminary documentation, evidence, and statements.
10. Initiates investigations through the DOJ Gambling Control Division to gather information needed to process applications, ensure compliance, and resolve complaints or allegations of illegal activity. This includes the sale of unauthorized goods, sale to minors, and pricing violations.
11. Coordinates the resolution of disputes through administrative action, negotiation with involved parties, and contract termination. Collects all required information and evidence and determines the appropriate administrative or legal action based on applicable rules and statutes. Represents the department before hearings examiners if the licensee is not represented by an attorney. Provides information, documentation, and advice to legal staff as technical expert in matters of liquor disputes when the licensee is represented by an attorney.
12. Provides training and workshops for agency stores on existing liquor statutes, policies, procedures, and contracts. Develops public awareness and educational topics based on observations of compliance problems. Prepares program information and outreach materials. Provides information and training through presentations at meetings, workshops, and conferences.
13. Interprets program statutes and rules and their application in specific circumstances. Identifies trends in the industry or problems requiring investigation by analyzing the content and frequency of inquiries from agents and the public.
14. Travels throughout the state to conduct annual store visits to ensure contract compliance and provide one-on-one assistance to the store agent.

- **Program Administration 35%**

1. Determines the need for Invitations for Bid, Requests for Proposals, and contracts with various vendors, contractors, and suppliers to provide liquor store, trucking, price book publication, and other liquor control related services. Participates in developing requests for proposals; drafting specifications and scopes of services; and negotiating terms. Reviews and coordinates vendor service contracts. Determines the scope of projects, achieves consensus on terms, and ensures contracts are delivered as agreed. Monitors and evaluates contractors' work.
1. Documents and maintains records of division and liquor stores activities to provide a defensible legal record of activities, agreements, complaints, settlement agreements, administrative procedures, correspondence, and compliance requirements. This involves compiling notes and logs, writing reports, updating databases, and maintaining files.
2. Maintains quota statistics and monitors changes due to census changes and administrative action. Apprises the division administrator of any changes in the availability of agency stores.
3. Creates and formulates procedures and suggests policy changes to management to improve operations within the work unit. Maintains statewide consistency for related policies, procedures, and requirements.
4. Drafts administrative rules as directed by management. Assists the attorney in gathering and compiling evidence and testimony for Montana Administrative Procedure Act (MAPA) hearings and testifies at these hearings.
5. Creates and conducts annual surveys with agency stores to measure how the department is doing and how the department can improve the liquor distribution function to better serve the stores and the citizens of Montana.
6. Researches, develops, and implements special liquor projects identified by management.

- **Other Duties as Assigned 5%**

1. Performs other duties as assigned by the supervisor.

Job Requirements

To perform successfully as a liquor program compliance specialist, the incumbent must be self-motivated; possess a strong work ethic; maintain a positive attitude; and enjoy working with, and for, the public. It is essential that the incumbent has the ability to take initiative, recognize and correct problems, and generate innovative solutions. The incumbent is required to analyze complex issues; identify others' underlying concerns and motives; deal with controversy and hostility in a professional and objective manner; resolve conflict, make logical decisions, build relationships, and maintain accountability. Skills in multi-tasking; paying attention to details and accuracy; mathematics; providing timely and effective written, verbal, and interpersonal communication; customer service; handling multiple projects under tight deadlines; and in using word processing, spreadsheet, and database software are required. The incumbent must exercise discretion and judgment in handling confidential and sensitive information.

This position requires knowledge of the principles and practices of compliance program administration; product management; merchandising; contract administration and contract practices; administrative and legal procedures; technical writing; and public relations. The position also requires knowledge of office administration principles, records management, and related administrative processes.

- The minimum level of education and job-related work experience needed as a new employee **on the first day** of work is a bachelor's degree in accounting, business administration, public administration, criminal justice, law enforcement, or a related field and three years of job-related work experience.
 - Work experience should be made up of compliance or licensing, procurement and contract administration, or program administration.
 - Other combinations of education and experience will be evaluated on an individual basis.

Department Core Values

- **Respect:** As a representative of the people of Montana, proceeds with the highest level of respect for the dignity of every person contacted through work. Without exception, all people are treated as

equally as possible. The employee is a faithful steward of the resources provided to this agency by the citizens of Montana.

- **Integrity:** Conducts work honestly and makes decisions that establish a clear record that the department serves the public with integrity. Apologizes for mistakes and gives credit to others for their cooperation, work, and ideas in achieving positive results. Accountable for their actions and holds others accountable for theirs. Decisions and judgments achieve equity and justice for all parties involved including citizens and co-workers.
- **Productivity:** Consistently strives to minimize the waste of the department's financial, facilities, and human resources. Diligently works to improve the productivity and effectiveness of the work unit. Welcomes and encourages new ideas on improving the results of the department from the public, other officials, colleagues, and supervisors. Approaches work in a manner that builds goodwill, trust, and cooperation internally with other staff and externally with the public.
- **Teamwork:** Maximizes cooperation and teamwork when working with other employees, divisions, and other state agencies. Willing to work with others for the opportunity to learn from their ideas, talents, and knowledge. Seeks to resolve conflicts with other employees and work units in an open and respectful manner that reinforces teamwork. Celebrates the successes of others.

Working Conditions

Mental stress is encountered as a result of critical deadlines, managing a heavy workload, the technical nature of the work, and the significance of decisions made. At times, the incumbent will deal with angry and difficult individuals to resolve concerns or to bring about compliance with regulations. As a Department of Revenue employee, the incumbent may come into contact with highly confidential financial and tax information and is required to maintain the highest level of confidentiality regarding all information acquired or used in performing this job. This position requires considerable computer and keyboard use. Work hours may exceed 40 hours per week from time to time. Lifting is infrequent, less than 15 pounds and includes carrying light items such as papers and books. The job requires extensive travel, sometimes under unfavorable conditions and circumstances. A Montana driver's license is required. This job requires regular attendance as scheduled by the supervisor. This job cannot be performed at an alternate work site.

Special requirements

- **Background Examination:** Applicants for this position will be subject to a criminal background review before being considered for employment. Individual circumstances involving a criminal conviction will be reviewed to determine an applicant's eligibility for employment.
- **Compliance with All Appropriate Montana Tax Laws:** An employee's tax status must be current.

This job profile was produced by the Office of Human Resources in conjunction with the appropriate managers.

Division Administrator Review: The statements in this job profile are accurate and complete.

Signature: Shauna Helfert, Division Administrator Date: August 2010

Human Resource Director Review: The Office of Human Resources has reviewed this job profile.

Signature: JeanAnn Scheuer, Human Resources Director Date: August 2010

Employee: My signature below indicates I have read this job profile and discussed it with my supervisor.

Signature: _____

Date: _____

Name (print): _____